



State of Indiana
Indiana Department of Correction

Effective Date

03/01/07

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Number

02-03-113

POLICY AND ADMINISTRATIVE PROCEDURES

Manual of Policies and Procedures

Title

FACILITY DUTY OFFICER

Legal References

(includes but is not limited to)

IC 11-8-2-5(a)(1), (2), (3), and
(8)

Related Policies/Procedures

(includes but is not limited to)

02-03-102

Other References

(includes but is not limited to)

ACA

ACI: 4-4184, 4-4185
JTS: 3-JTS-3A-10, 3-JTS-
3A-11

I. PURPOSE:

The purpose of this policy and administrative procedures shall be to establish the appointment, scheduling, training and responsibilities of a Facility Duty Officer within the structure of facility operations.

II. POLICY STATEMENT:

Indiana Department of Correction facilities shall have managerial coverage 24 hours per day, seven (7) days per week. To provide for a system of continuous accountability, responsibility, and guidance, the use of an appointed Duty Officer during non-business hours and on other occasions as directed by the Facility Head shall be utilized. Staff assigned to serve as Duty Officers shall act in place of the Facility Head during non-business hours. The Duty Officer shall be responsible for ensuring that Department and facility procedures are followed and incidents are reported as required.

Staff appointed to serve as Duty Officers shall be trained to ensure that staff has the proper guidance and assistance during those times when the regular administrative staff of the facility is not present. The Duty Officer shall ensure that appropriate notifications are made during non-business hours.

Staff assigned to serve as Duty Officers shall be trained in the responsibilities of serving as a Duty Officer and shall be familiar with all Department and facility procedures which may impact their functioning as a Duty Officer.

III. DEFINITIONS:

For the purpose of this policy and administrative procedures, the following definitions are presented:

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- A. Bodily injury: Any impairment of physical condition, including physical pain in accordance with IC 35-41-1-4.
- B. BUSINESS HOURS: Monday through Friday, 8:00 a.m. to 5:00 p.m. (local time), excluding Saturdays, Sundays and State Holidays.
- C. CRITICAL INCIDENT: Any event that seriously disrupts the routine operation of a facility such as those situations involving, battery on staff or offenders, abusive sexual contacts, and staff sexual harassment. Also, those situations which are defined as serious, significant or highly sensitive are considered critical incidents.
- D. DISTURBANCES: A disruption of routine facility security by offenders or other persons, such as sit-down strikes, demonstrations, or violent and tumultuous conduct which may include damage to property or injury either inside or outside the facility, including total or partial lockdowns of the facility. The levels of disturbances are as follows:
- **Level I Disturbance** – Responses/resources necessary for the return to normal operations can be attained by the Quick Response Team and on duty staff
 - **Level II Disturbance** – Responses/resources necessary for the stabilization of the situation cannot be attained by the Quick Response Team and/or on duty staff and return to normal operations requires the assistance of off duty staff, including the activation of a facility Emergency Squad.
 - **Level III Disturbance** – Responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff nor its primary back up unit(s) and return to normal operations requires the assistance of the regional Special Emergency Response Team and/or facility S.I.T.C.O.N. Team(s).
 - **Level IV Disturbance** – Responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff and return to normal operations requires the assistance from state mutual aid personnel.
 - **Level V Disturbance** – Responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff, inter-departmental personnel, intra-agency personnel and any local mutual aid personnel.
- E. DUTY OFFICER: Administrative/Managerial staff member appointed by the Superintendent to serve as the Facility Head's designee during a fixed time period.
- F. EMERGENCIES: Man-made or natural disasters, disturbances, riots, work stoppages/strikes and any other unusual or extraordinary event that

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causes a threat to the security of a facility and/or safety of staff, offenders or the public.

- G. **NATURAL DISASTER:** Events such as earthquakes, tornadoes, strong line winds, chemical spills, etc., where the routine function of the facility is seriously disrupted. These events do not include brief or intermittent power outages, unless these power outages result in substantial equipment failure and subsequent disruption of the facility.
- H. **SERIOUS BODILY INJURY:** Any bodily injury that creates a substantial risk of death or that causes: (1) serious permanent disfigurement; (2) unconsciousness; (3) extreme pain; (4) permanent or protracted loss or impairment of the function of the bodily member or organ; or, (5) loss of a fetus.
- I. **SERIOUS, SIGNIFICANT OR HIGHLY SENSITIVE EVENT:** Any event that includes the following:
 - 1. Escapes;
 - 2. Death or serious injury of on-duty staff;
 - 3. Death or serious injury of an offender, except in cases where the offender dies of natural causes and the death was anticipated;
 - 4. Non-consensual sexual acts;
 - 5. Staff sexual misconduct;
 - 6. Death or serious injury of a visitor at a facility;
 - 7. Any serious fire or disturbance at a facility;
 - 8. Any natural disaster or other serious unexpected event, such as the loss of utilities, that may have a serious negative impact upon the operation of the facility;
 - 9. Any unexpected facility event that may cause widespread interest or non-routine news coverage and where immediate response or comment may be solicited from Central Office; or,
 - 10. Any serious crime, such as a homicide, serious battery or sex crime, committed by an offender on Parole that may cause widespread interest or non-routine news coverage and where a response or comment may be solicited from Central Office.

IV. APPOINTMENT OF DUTY OFFICER:

The Facility Head shall designate staff to serve as a Duty Officer during non-business hours and when the Facility Head will be away from the facility during business hours. Staff assigned to serve as Duty Officer shall be from the ranks or positions of:

- A. Facility Head;
- B. Assistant Facility Head;
- C. Administrative/Executive Assistant;
- D. Custody Supervisor;

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- E. Department Head;
- F. Unit Team Manager;
- G. Captain;
- H. Any other staff having a rank equivalent to or above these staff persons.

Staff may be removed from the duty officer rotation at the discretion of the Facility Head or when the staff person has failed to perform the duties of the Duty Officer appropriately.

V. DUTY OFFICER SCHEDULE:

- A. The assignment of a staff person as the Duty Officer shall rotate on a weekly basis.
- B. The staff person shall assume the duties as Duty Officer at 8:30 a.m. Tuesday morning and the rotation shall last until the following Tuesday at 8:30 a.m.
 - 1. During the rotation, the Duty Officer shall remain on-site at the facility in accordance with his/her regular working hours daily;
 - 2. The Duty Officer shall be at the facility for at least one (1) hour twice during non-business hours while serving as Duty Officer; and,
 - 3. The Duty Officer shall be required to be on-site at the facility for at least 7.5 hours on Saturday and/or Sunday during the rotation and these hours may be divided between the two days (These hours may be split so that the Duty Officer is on-site for 3.75 hours on each day.).
- C. The Facility Head may grant exceptions to this schedule, but only with prior notification. Staff shall utilize an adjusted work schedule and take additional hours off during the appropriate pay period to work only 37.5 hours in the Duty Officer rotation. Staff assigned as Duty Officer shall only be allowed to claim an adjusted work hours for the hours that the Duty Officer must be at the facility, other than during the Duty Officer's regular working hours. Receiving phone calls, responding to pages or answering radio calls while away from the facility shall not be considered eligible for an adjusted work schedule.
- D. The Duty Roster shall be issued by the Facility Head's Office on a quarterly basis that will reflect a three-month coverage period. Copies of

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the Duty Roster shall be distributed to all Department Heads, and posted in the Custody Supervisor's Office, Control, the Emergency Command Center and any other location Designated by the Facility Head. A copy of the schedule shall be sent to the appropriate Regional Director/Operations and the Deputy Commissioner/Operations.

- E. Staff shall be responsible for submitting any scheduling conflicts (i.e. vacations, training away from the facility, etc.) to the Facility Head's Office at least two weeks prior to the issuance of quarterly rosters. Staff unable to assume duty or unable to continue duty at any time during the roster due to unforeseen circumstances shall advise the Facility Head directly.
 - F. The Duty Officer shall be "on-call" during all hours of the rotation when the Duty Officer is not on-site at the facility. During the rotation, the Duty Officer shall be available by telephone, pager or two-way radio while away from the facility and shall be able to respond to the facility within 45 minutes of being contacted. The Duty Officer shall be compensated only for those hours that he/she must be at the facility and shall not be compensated for time when he/she is simply in an "on-call" status. The accrual and use of compensatory time must be in strict accordance with all applicable State Personnel Department rules and the staff person's A-4A form must accurately reflect the adjusted work schedule and compensatory time earned and taken.
 - G. With the approval of the Facility Head, a staff person assigned to serve as Duty Officer may change the dates and hours of service in this capacity. The staff person shall be required to find a suitable replacement from those staff persons approved to serve as Duty Officer and shall ensure that, once approved by the Facility Head, all appropriate staff is notified of the change in assignment.
 - H. If a State observed holiday falls on a Tuesday, the duty assignment will continue until the next scheduled workday.
- VI. EQUIPMENT ISSUED FOR DUTY OFFICER:
- A. The Duty Officer shall be issued a Duty Officer Kit which shall include:
 - 1. Cellular Phone;
 - 2. Duty Officer Log Book;

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3. Folder containing the following blank forms:
 - a. Duty Officer Daily Summary Reports; and,
 - b. Critical Incident Reports;
4. Facility Emergency Manual;
5. A small binder containing pertinent information and facility operational procedures and Facility Directives. (NOTE: This binder may contain confidential information and is not to be taken into the secured areas of the facility where offenders may have access to its content. This binder shall be secured before the Duty Officer enters the inner secured area of the facility.)
6. List of names/phone and pager numbers (as applicable) of appropriate Central Office and Facility Staff to contact in case of emergency or critical incidents in accordance with the Facility's Emergency Response Manual;
7. Information outlining appropriate Emergency Pre-Deprivation Hearing Procedures; and
8. Other information deemed pertinent by the Facility Head.

- B. The facility shall designate a location where the above equipment and information shall be maintained and where the Duty Officer may obtain and return these items as necessary. The above equipment and information shall be maintained in a secured area until obtained by the Duty Officer
- C. Duty Officers shall report to the designated location no later than 8:30 a.m. on the first day of the assigned rotation to receive equipment and supplies. All equipment and supplies shall be returned to the designated location no later than 8:30a.m. on the day following the last day of the rotation. The Duty Officer going off-duty shall personally hand the Duty Officer Kit to the on-coming Duty Officer and shall advise the on-coming Duty Officer of any significant developments during his/her assignment.

VII. RESPONSIBILITIES OF DUTY OFFICER:

- A. The Duty Officer shall serve as the Facility Head's designee in facility matters during the Facility Head's "off-duty" hours, including facility emergencies, until properly relieved of responsibility by the presence/authority of the Facility Head.
- B. Duty Officers, acting as the "on-duty" Facility Head, shall be contacted for all matters routinely referred to the Facility Head when incidents, situations, and questions arise during other than normal working hours

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(i.e. nights, weekends, holidays, etc.). The Duty Officer shall make regular rounds through all areas of the facility during the duty assignment, especially offender living, work, program, and service areas, and shall serve as a source of information, guidance, and support for staff.

- C. Duty Officers shall remain available at all times during the designated assignment and shall respond promptly to telephone calls, pages or radio calls and shall report to the facility promptly as needed.
- D. The Duty Officer shall have a thorough knowledge of the facility's General Emergency Information, including, but not limited to:
 - 1. Chain-of-Command and responsibilities;
 - 2. Telephone/pager/radio numbers;
 - 3. Emergency radio signals;
 - 4. Emergency pager codes;
 - 5. Levels of Emergency and Response Teams;
 - 6. Notification and Declaration of Emergencies;
 - 7. Command Center and Staging areas; and,
 - 8. Activation of Emergency Teams and Emergency Procedures.
- E. Specified responsibilities include, but are not limited to, the following:
 - 1. Inspections: Duty Officers shall inspect all offender living and activity areas at least once during the duty week to encourage informal contact with staff and offenders, and also observe living and working conditions. Additionally, the Duty Officer shall inspect all special management (segregation) units and shall stand mainline daily. All visits and inspections shall be recorded in the Duty Officer Log Book.
 - 2. Emergency Suspensions: The Duty Officer shall serve, as the Facility Head's designee in administering Emergency Suspensions required during "off-duty" hours.
 - 3. Staff Support: Duty Officers, as representatives of the administration, shall serve as a source of information and support for facility staff, providing technical instruction/assistance and correcting/recording minor discrepancies as appropriate. Furthermore, Duty Officers shall remain highly visible during assigned rotations, promoting sound correctional practices throughout facility operations, as evidenced by compliance with American Correctional Association standards.

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VIII. REPORTING INCIDENTS AND CRITICAL INCIDENTS:

- A. The Shift Supervisor or designated staff on-site at the facility shall advise the Duty Officer of each emergency or non-routine incident that occurs during the Duty Officer's duty assignment.
 - 1. The Duty Officer shall determine the nature of the emergency or non-routine incident and either return immediately to the facility or give direction to the Shift Supervisor over the telephone.
 - 2. When the incident is determined to be a critical incident that is of a serious, significant or highly sensitive nature, the Duty Officer shall instruct the Shift Supervisor to contact the Facility Head, Assistant Facility Head(s) and other appropriate staff immediately.
 - 3. In these cases, the Duty Officer shall immediately proceed to the facility and assess the situation, initiate any appropriate actions and report all details to the Facility Head or Assistant Facility Head(s) as soon as possible.
- B. Duty Officers shall contact the Facility Head, Assistant Facility Head, or appropriate department head(s) for assistance and/or guidance in other situations as needed.
- C. At the direction of the Facility Head or Assistant Facility Head(s) the Duty Officer shall immediately report by telephone information regarding a serious significant or highly sensitive event to the appropriate Regional Director and/or the Deputy Commissioner of Operations. The Facility Head or Duty Officer shall provide as much information as possible regarding the serious, significant or highly sensitive event so that all appropriate staff can be made aware of the situation and its status.
- D. Follow-up telephone calls may be necessary to ensure that all pertinent information is made available to all appropriate staff. No later than the next business day, the Duty Officer shall complete a **REPORT OF CRITICAL INCIDENT** and submit it to the Facility Head or designee for review and approval. Following approval of the report, it shall be sent via e-mail to the appropriate Deputy Commissioner, Regional Director, and the Secretary/Administrative Assistant to the Deputy Commissioner/Operations.

IX. RECORD KEEPING/REPORTS:

- A. Duty Officer Log Book information shall be recorded as follows:

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1. Name of Duty Officer;
 2. Beginning date of Duty;
 3. Specific Time entering and leaving facility grounds;
 4. Phone calls received;
 5. Brief entry regarding specific incidents, containing names of individuals involved, description of incident, outcome/disposition;
 6. Any other information deemed appropriate by the Duty Officer, including information to be shared with other staff assuming the duty officer position;
- B. The Duty Officer shall record activities in the Duty Officer Log Book on a daily basis. The Duty Officer shall ensure that the Log Book is up-to-date at the end of each day.
- C. Completed Duty Officer logbooks shall be maintained in the Facility Head's Office in accordance with the Department's approved records retention schedule for Log Books.
- D. The Duty Officer shall complete a "Duty Officer Daily Summary" each day while assigned as a Duty Officer.
1. This Daily Summary shall contain information regarding any incidents or events that took place within the last 24 hours which the Duty Officer responded to, either in person at the facility or by providing guidance to staff. These events shall be logged into the Duty Officer logbook as well. NOTE: Only those incidents or events that are out of the ordinary are to be reported on the "Duty Officer Daily Summary."
 2. The original report shall be forwarded to the Facility Head on a daily basis no later than 9:00 a.m. of the day following the day covered in the report.
 3. The Duty Officer shall retain a copy of the report and shall ensure that reports containing information relevant to specific areas/departments are forwarded to the Assistant Facility Head(s) and the appropriate department head.
 4. Reports containing confidential information shall be marked as such and handled accordingly. These reports shall be maintained in accordance with the Department's approved records retention schedule for log books.

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X. DUTY OFFICER TRAINING:

Effective Duty Officers must possess a basic knowledge of facility and Departmental policies and procedures governing both everyday aspects of the facility operation and emergency situations.

Duty Officers shall receive training and demonstrate competency in the following areas prior to placement on the rotation:

- A. Facility Emergency Plans;
- B. Use of Force;
- C. Weapons/chemical agents;
- D. Pre-Deprivation Hearings;
- E. Offender Accountability;
- F. Chemical/toxic flammable control;
- G. Segregation Procedures;
- H. Offender Restraints;
- I. Alco-sensor/urinalysis policy;
- J. Offender Visitation;
- K. Fire evacuation procedures; and
- L. Any other information/training deemed necessary by the Facility Head.

Additionally, all staff assigned to the Duty Officer Rotation shall receive annual refresher training in the duties and responsibilities of the Duty Officer.

XI. APPLICABILITY:

This policy and administrative procedure shall be applicable to all Department facilities.

Signature on File
J. David Donahue
Commissioner

2/13/07
Date



DUTY OFFICER DAILY SUMMARY

Indiana Department of Correction

State Form _____

Printed Name of Duty Officer

Facility

Date of Report

List All Information Relating to Any Non-routine Incident or Event that Happened the Previous Day:

INCIDENT # 1

Date of Incident: _____ Time of Incident: _____ Location of Incident: _____

Staff Present/Involved: _____

Offender(s) Involved: _____

Description of Incident:

INCIDENT # 2

Date of Incident: _____ Time of Incident: _____ Location of Incident: _____

Staff Present/Involved: _____

Offender(s) Involved: _____

Description of Incident:

INCIDENT # 3

Date of Incident: _____ Time of Incident: _____ Location of Incident: _____

Staff Present/Involved: _____

Offender(s) Involved: _____

Description of Incident:

Use Additional Sheets as Necessary